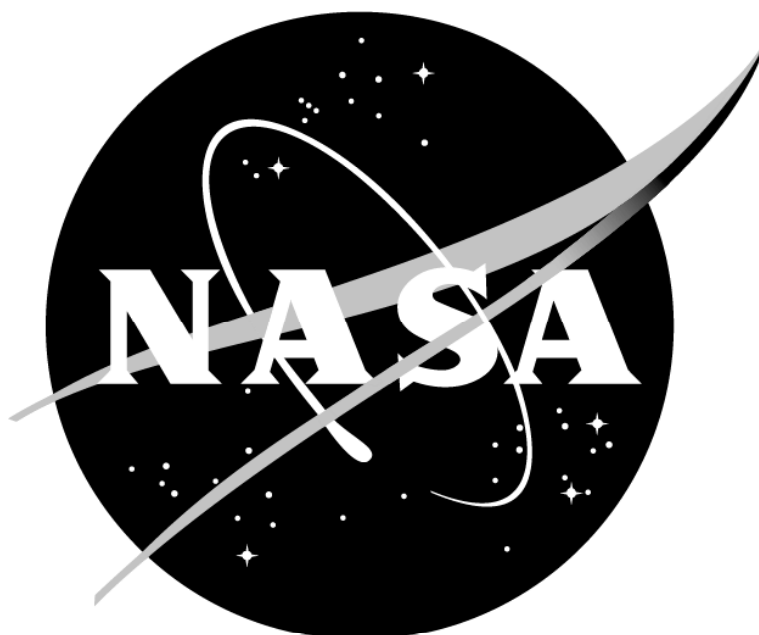**Office Work Instruction**

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B
May 1,2000

Responsible Office: UP/ Policy and Program Integration Division
Subject: Budget Formulation

OFFICE WORK INSTRUCTION

BUDGET FORMULATION

Original Approved and Signed by:

Arnauld E. Nicogossian
Associate Administrator
Office of Life and Microgravity Sciences and Applications

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DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		02/01/99	
Revision	A	04/30/99	Incorporates changes made in response to comments from the Code U review and the DNV Pre-Assessment Report.
Revision	B	08/17/99	Incorporates changes to eliminate letter version designations and corrects titles on reference documents. Corrects page connector symbols on process maps.
Administrative Change	B	05/01/00	Administrative changes to ensure quality records are described by the same title

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1. **Purpose**

   This Office Work Instruction (OWI) describes the process used by the Office of Life and Microgravity Sciences and Applications (OLMSA) in formulating the OLMSA budget.

2. **Scope and Applicability**

   This OWI describes procedures for the OLMSA budget formulation process. It covers the annual budget formulation process from a January beginning to February of the following year. The OLMSA budget formulation process is consistent with and parallels the Agency budget formulation process. The Agency processes, which are managed by the Office of the NASA Comptroller (Code B), are described in the *NASA Budget Administration Manual.*

3. **Definitions**

   None

4. **Applicable Documents**

4.1   NPD 1000.1, NASA Strategic Plan

4.2   NPG 1000.2, NASA Strategic Management Handbook

4.3   NHB 7400.1, NASA Budget Administration Manual

4.4   NHB 1101.3, The NASA Organization

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5.   **Flowchart**

* Denotes Quality Record

KEY
AA: Associate Adminstrator
BoD: OLMSA Board of Directors
BA: Budget Analyst
CIC: Capital Investment Council
DD: Division Director
OMB: Office of Management and Budget
PA: Policy Analyst

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        │    2    │
        └────┬────┘
             │
             ▼                          BA/BoD
   ┌──────────────────────┐      ┌──────────────────────┐
   │         2.3          │      │  *OLMSA Budget        │
   │ Formulate & Submit    │─────▶│   Recommendation      │
   │ Budget Recommendation │      └──────────────────────┘
   │ to Associate          │
   │ Administrator         │
   └──────────┬───────────┘
              │                        BA/BoD
┌──────────────┐   ┌──────────────────────┐   ┌──────────────────────┐
│ OLMSA Budget │──▶│         3.1          │──▶│  *OLMSA Budget        │
│Recommendations│   │ Prepare OLMSA Budget │   │ Presentation Materials│
└──────────────┘   │ Presentation to CIC  │   └──────────────────────┘
                   └──────────┬───────────┘
                              │                 AA
                   ┌──────────────────────┐
                   │         3.2          │
                   │ Receive Final Budget │
                   │ Submission Decisions │
                   │ from Administrator   │
                   └──────────┬───────────┘
                              │                BA/DD
                   ┌──────────────────────┐   ┌──────────────────────┐
                   │         3.3          │──▶│ *Budget Marks fo Lead │
                   │ Identify and Distribute│  │       Centers         │
                   │ Budget Marks to Lead  │   └──────────────────────┘
                   │ Centers              │
                   └──────────┬───────────┘
                              │                BA/DD
                   ┌──────────────────────┐
                   │         3.4          │
                   │ Review Updated POP   │
                   │ Submission from Lead │
                   │ Centers              │
                   └──────────┬───────────┘
                              │
                        ┌─────┴─────┐
                        │     3     │
                        └───────────┘
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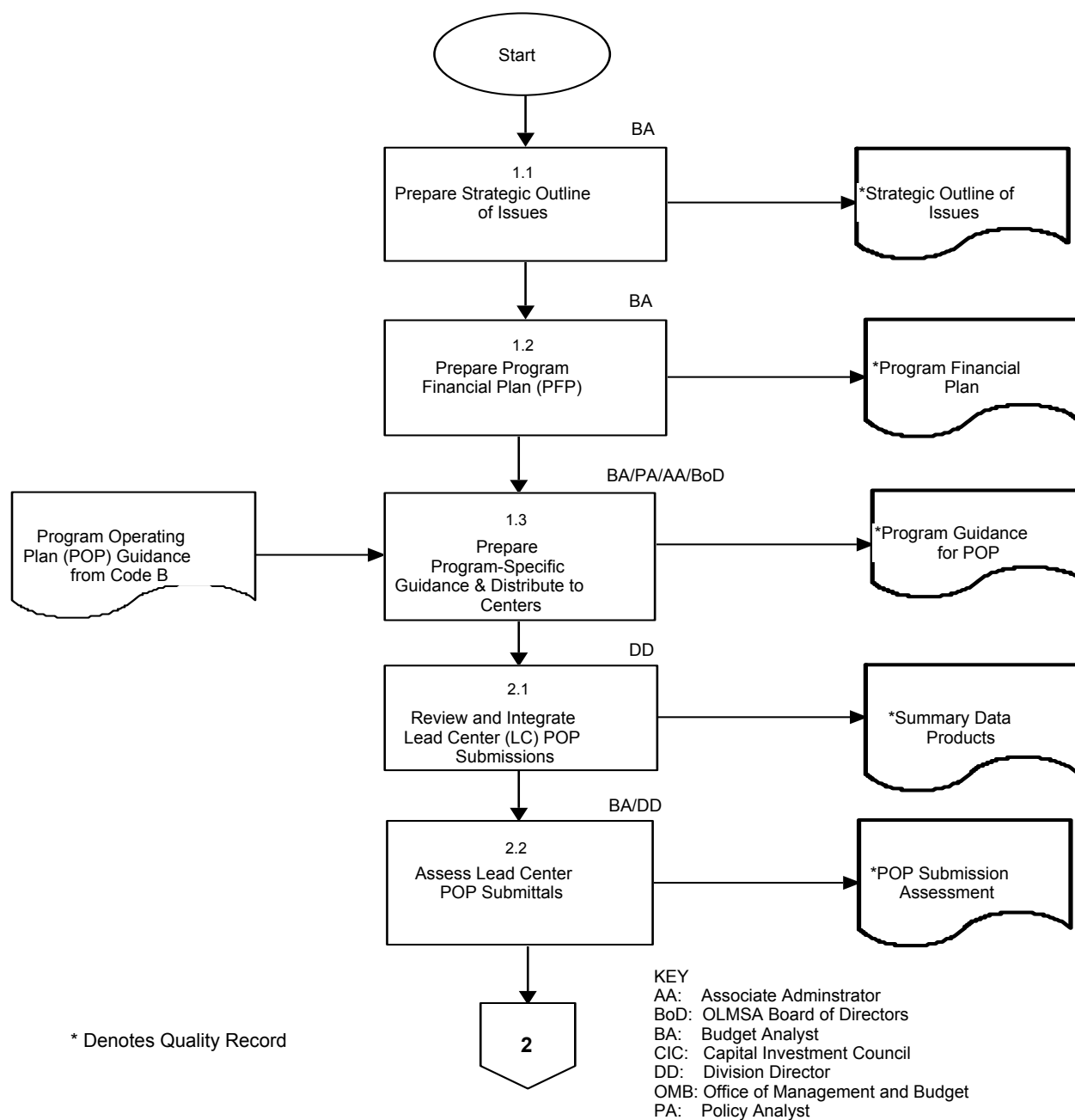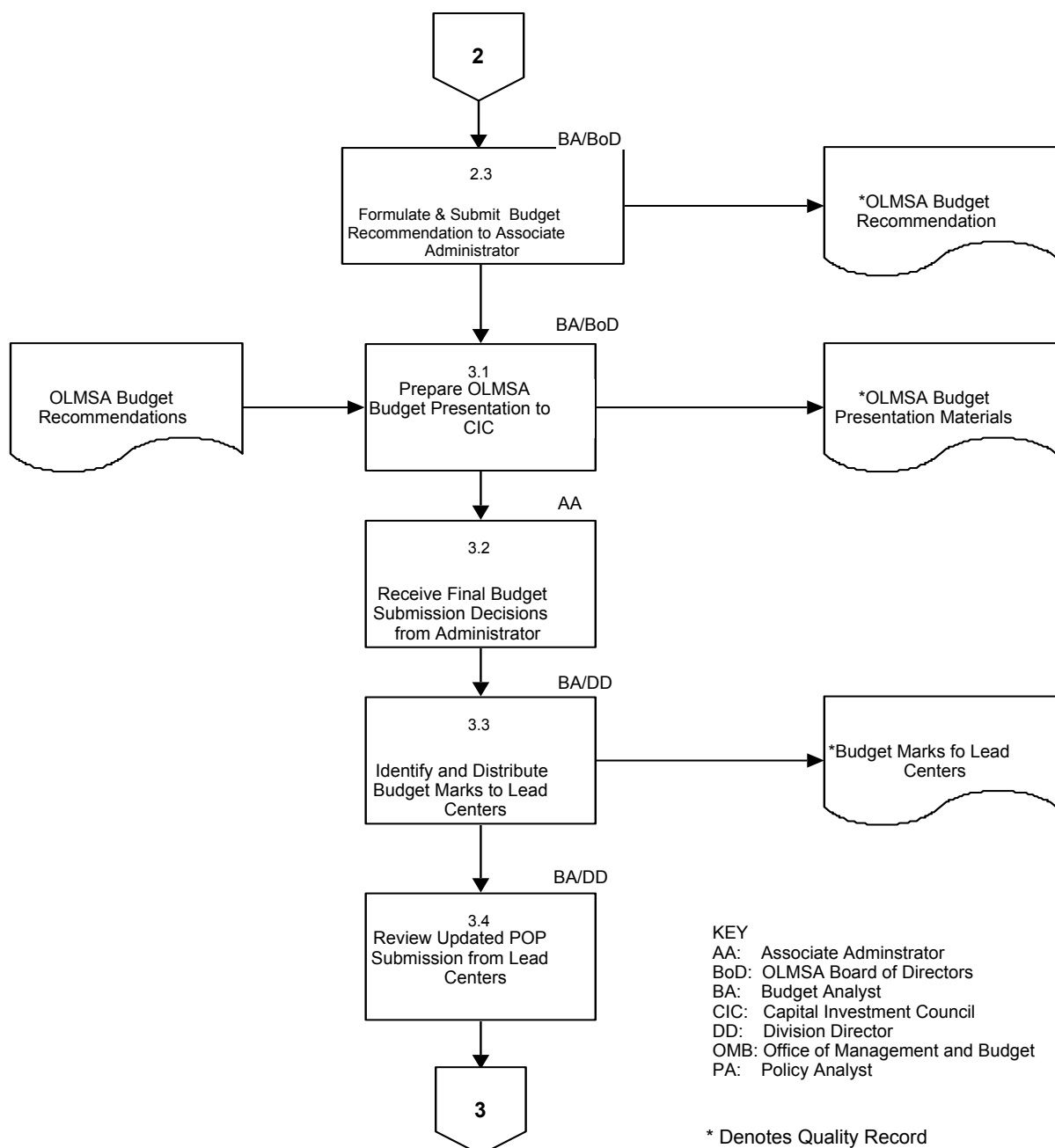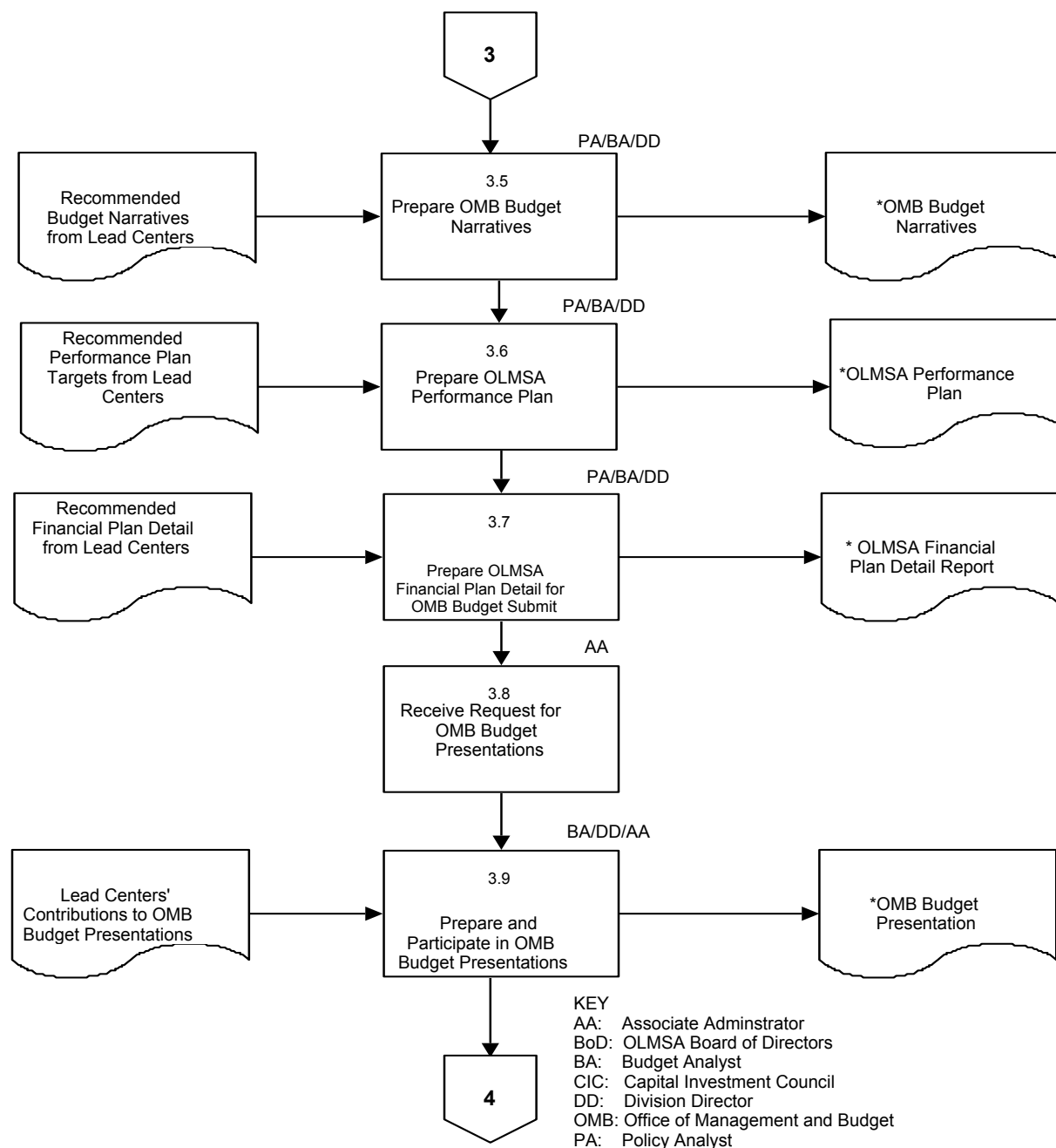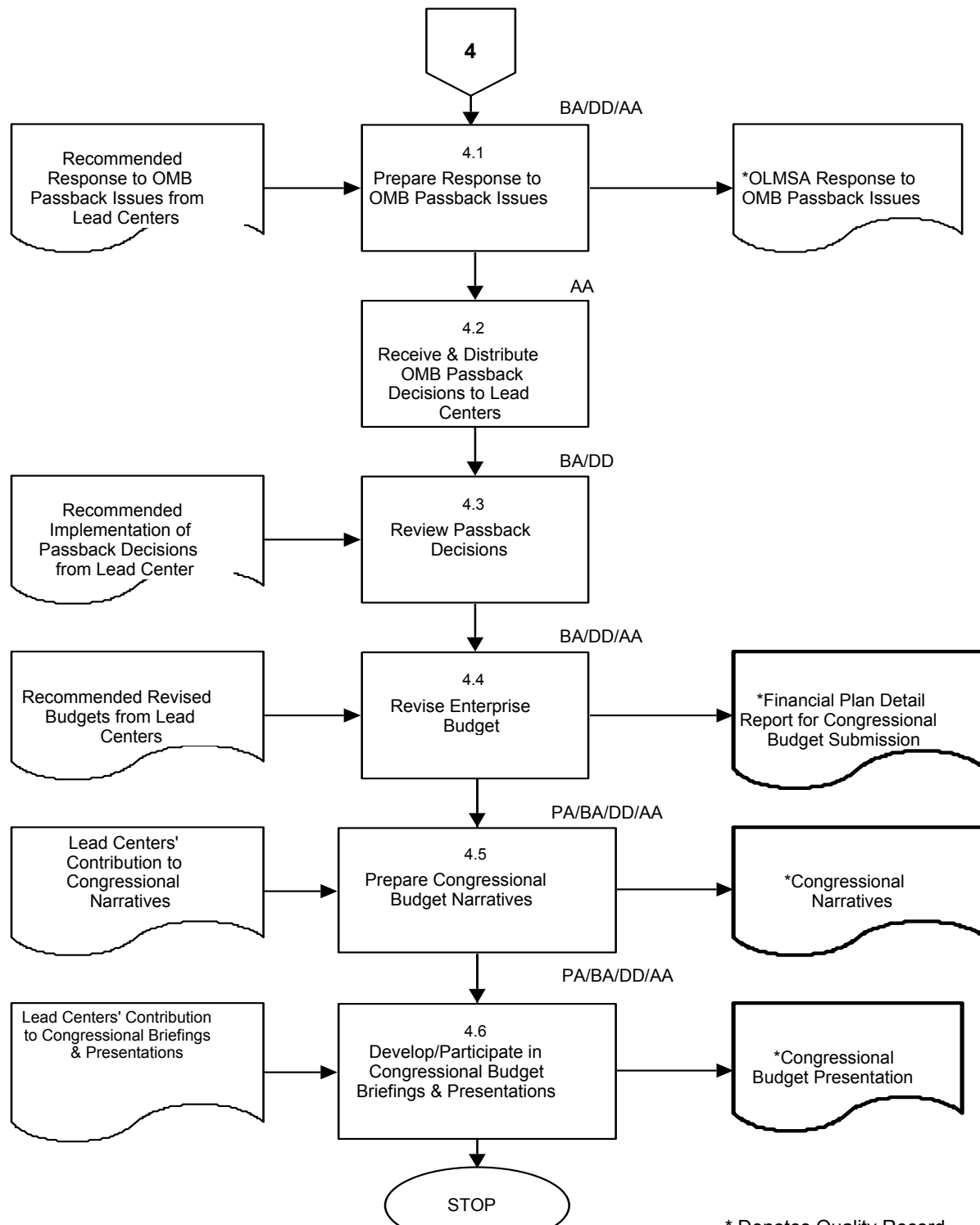B
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                              │  3   │
                              └──┬───┘
                                 │
                              PA/BA/DD
                                 ▼
Recommended              3.5                    *OMB Budget
Budget Narratives  ───►  Prepare OMB Budget ──► Narratives
from Lead Centers        Narratives
                                 │
                              PA/BA/DD
                                 ▼
Recommended              3.6                    *OLMSA Performance
Performance Plan   ───►  Prepare OLMSA     ──►  Plan
Targets from Lead        Performance Plan
Centers
                                 │
                              PA/BA/DD
                                 ▼
Recommended              3.7                    * OLMSA Financial
Financial Plan Detail ─► Prepare OLMSA     ──►  Plan Detail Report
from Lead Centers        Financial Plan Detail for
                         OMB Budget Submit
                                 │
                              AA
                                 ▼
                         3.8
                         Receive Request for
                         OMB Budget
                         Presentations
                                 │
                              BA/DD/AA
                                 ▼
Lead Centers'            3.9                    *OMB Budget
Contributions to OMB ──► Prepare and       ──►  Presentation
Budget Presentations     Participate in OMB
                         Budget Presentations
                                 │
                                 ▼
                              ┌──────┐
                              │  4   │
                              └──────┘
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                                 │
                              BA/DD/AA
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| Recommended Response to OMB Passback Issues from Lead Centers | → | 4.1 Prepare Response to OMB Passback Issues | → | *OLMSA Response to OMB Passback Issues |

AA

4.2 Receive & Distribute OMB Passback Decisions to Lead Centers

BA/DD

| Recommended Implementation of Passback Decisions from Lead Center | → | 4.3 Review Passback Decisions |

BA/DD/AA

| Recommended Revised Budgets from Lead Centers | → | 4.4 Revise Enterprise Budget | → | *Financial Plan Detail Report for Congressional Budget Submission |

PA/BA/DD/AA

| Lead Centers' Contribution to Congressional Narratives | → | 4.5 Prepare Congressional Budget Narratives | → | *Congressional Narratives |

PA/BA/DD/AA

| Lead Centers' Contribution to Congressional Briefings & Presentations | → | 4.6 Develop/Participate in Congressional Budget Briefings & Presentations | → | *Congressional Budget Presentation |

(STOP)

* Denotes Quality Record

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6. **Procedure**

The Budget Formulation Process is repeated yearly with activities occurring throughout the year. The process starts in mid-January for a budget submitted to Congress in February of the following year. The OLMSA activities are conducted in four primary phases:

1. Build OLMSA Enterprise-Level Program Operating Plan (POP) Guidelines,
2. Build OLMSA Enterprise-Level Enterprise Budget,
3. Build OLMSA Enterprise-Level Agency Submission to the Office of Management and Budget OMB, and
4. Build OLMSA Enterprise-Level Congressional Budget.

The process identified below identifies the work of OLMSA's Policy and Program Integration Division (Code UP). It does not describe the activities of the Field Centers or the activities of the Office of the NASA Comptroller (Code B).

6.1 **Build POP Guidelines**

#	Responsible Official	Activity Description
1.1	Budget Analyst	Prepare strategic outline of issues. After soliciting input from the OLMSA Executive Board and Lead Centers, prepare the Strategic Outline of Issues and deliver it to the Capital Investment Council as input to the Strategic Guidance for Budget Formulation
1.2	Budget Analyst	Prepare Program Financial Plan (PFP). Prepare the PFP after soliciting input from the OLMSA Executive Board and Lead Centers. The PFP is delivered to the Capital Investment Council as input to the Strategic Guidance for Budget Formulation.
1.3	Budget Analyst, Policy Analyst, Associate Administrator, Board of Directors	Prepare program-specific budget formulation guidance. Prepare program-specific guidance for budget formulation using the POP budget guidance provided by Code B.

6.2 **Build Enterprise Budget**

#	Responsible Official	Activity Description
2.1	Division Director	Receive and integrate Lead Centers' POP submissions The integrated budget submissions should result in Summary Data Products.
2.2	Budget Analyst, Division Director	Assess Lead Centers' POP submissions and report findings to the Associate Administrator for OLMSA (AA), titled Lead Center POP Submission Assessment.
2.3	Budget Analyst, Board of Directors	Formulate and submit OLMSA Budget Recommendations for the AA..

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6.3   Build Agency Submission to OMB

3.1	Budget Analyst, Board of Directors	Prepare OLMSA budget presentation to CIC (Capital Investment Council). As this action proceeds, Code B will be finalizing the budget submission to OMB.
3.2	Associate Administrator	Receive final budget submission decisions from the Administrator.
3.3	Budget Analyst, Division Director	Identify and distribute Budget Marks to Lead Centers.
3.4	Budget Analyst, Division Director	Review updated POP submission from the Lead Centers. This activity is conducted with the Lead Centers.
3.5	Policy Analyst, Budget Analyst, Division Director	Prepare OMB Budget Narratives that support the final Budget submission decisions from the Administrator. This activity is conducted with the Lead Centers.
3.6	Policy Analyst, Budget Analyst, Division Director	Prepare OLMSA Performance Plan using recommended performance targets received from Lead Centers.
3.7	Policy Analyst, Budget Analyst, Division Director	Prepare OLMSA Financial Plan Detail Report for OMB budget or Congressional submit. This activity is conducted with the Lead Centers.
3.8	Associate Administrator	Receive a request for OMB Budget Presentation.
3.9	Budget Analyst, Division Director, Associate Administrator	Prepare OMB Budget Presentation and participate in briefings.. This activity is conducted with the Lead Centers.

6.4   Build Congressional Budget

4.1	Budget Analyst, Division Director, Associate Administrator	Prepare Response to OMB Passback Issues, if requested. After OMB has reviewed the NASA budget submission, it will identify issues and recommendations for "passback" to NASA. The passback issues are sent to Code B, which will solicit Code UP support as required.
4.2	Associate Administrator	Receive and distribute the final totals and program guidance to Lead Centers.
4.3	Budget Analyst, Division Director	Review passback decisions. This activity is conducted with the Lead Centers.
4.4	Budget Analyst, Division Director, Associate Administrator	Revise Enterprise budget, if required, prior to approval. Submit to Code B. Code B will then finalize and distribute the budget submission to Congress. This activity is conducted with the Lead Centers.
4.5	Policy Analyst, Budget Analyst, Division Director, Associate	Prepare Congressional Budget Narrative. This activity is conducted with the Lead Centers.

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Administrator

4.6	Policy Analyst, Budget Analyst, Division Director, Associate Administrator	Develop the Congressional Budget Presentation and participate in the congressional budget briefings. This activity is conducted with the Lead Centers.

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7. Quality Records

Record Identification	Owner	Location	Media Electronic/ Hard Copy	Schedule and Item Nos.*	Retention/ Disposition
Strategic Outline of Issues	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
Program Financial Plan	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
Program Guidance for POP (Integrated Submittals)	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
Summary Data Products	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
POP Submission Assessment	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA Budget Recommendations	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA Budget Presentation Materials	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
Budget Marks to Lead Centers	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OMB Budget Narratives	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA Performance Plan	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA Financial Plan Detail Report	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OMB Budget Presentation	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA Response to OMB Passback Issues	Policy Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
Financial Plan Detail Report for Congressional Budget Submission	Policy Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
Congressional Narrative	Policy Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
Congressionnal Budget Presentation	Policy Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.

* Quality Records are retained in accordance with the referenced schedule and item number from NPG 1441.1, *NASA Records Retention Schedules*